Open Records (GRAMA) Transparency Implementation
May 2014
Five-year plan

The 2014 General Session of the Utah State Legislature enacted SB70S01 State Data Portal Amendments. The bill assigns the Department of Administrative Services, and subsequently the Utah State Archives, under the direction of the Transparency Board the responsibility to provide a single point of access for open records requests (GRAMA requests) and to provide for public information accessibility through an information website.

The State Archives recognizes this as an opportunity to promote transparency and accountability of government to improve records management governance throughout the state.

Principles
The information website will provide access to public records and information online.

The GRAMA portal will provide a point of access to make GRAMA requests to governmental entities.

The State Archives will fulfill the mandates of the guiding principles of unfettered access to public information and encourage: the permanent, lasting, open access to public information; public information systems that ensure data quality, create a public, comprehensive list or index of public information, and define a process for continuous publication of and updates to public information; and accountability of those who create, maintain, manage or store public information. [Utah Code 63A-3-403]

Framework
The State Archives' framework will fulfill these obligations while promoting transparency. The framework identifies the hierarchical structure and functions of governmental entities in the state and the records they create. The public will be able to identify the governmental entity of interest, the records it maintains, and locate records online or make an open records request of records it maintains.
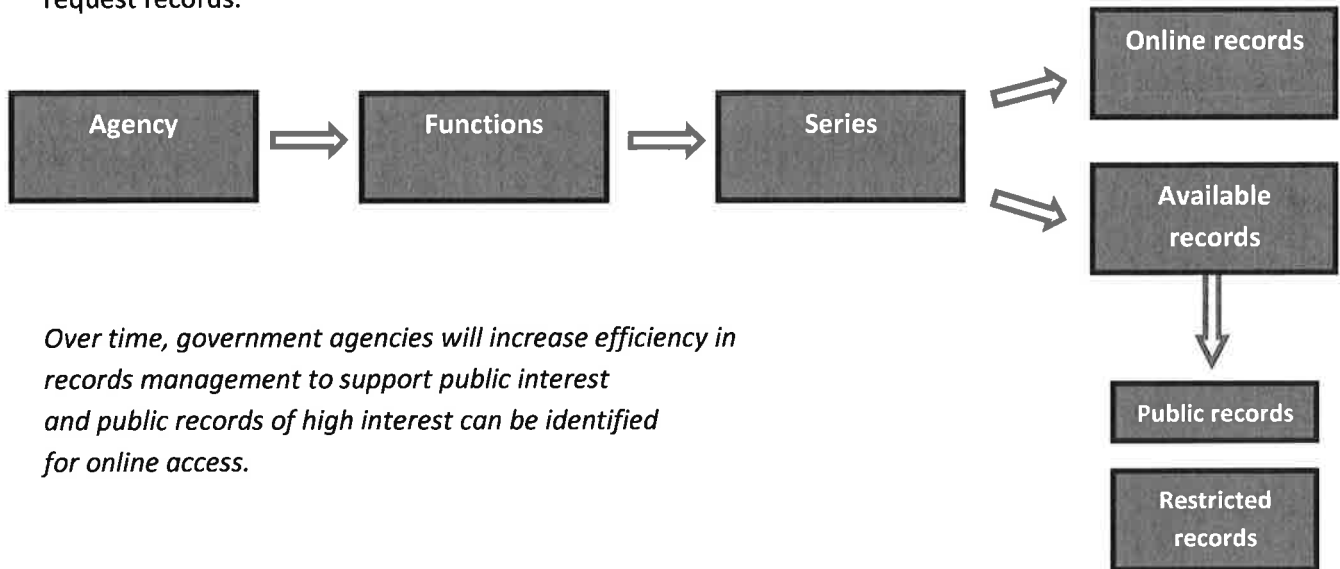
This facilitates transparency in the following ways:

Government agencies are identified so that interested persons may appropriately direct GRAMA requests.

The records an agency maintains are identified so that a member of the public may understand which records an agency maintains. A person will be able to understand and identify with specificity the records of interest or direct a request to a more relevant agency.

Records online will be available without requiring a records request. Off-line records kept in the office are still identified and described so that the public understands what records exist.

Records with restricted access designations will be identified, and persons with authorized access may request records.

*Over time, government agencies will increase efficiency in
records management to support public interest
and public records of high interest can be identified
for online access.*

Goal 1: Easy access to government records

Encourage open access to public information and enhance search to allow users to more easily find records within increasing online content

Use utilities to harvest content so that full text is discoverable when searching

Provide interface for agencies to update the URLs to records they have on their website

Incorporate geospatial searching of records

Publish public emails

Maintain robust search functionality

Identify records of public interest and prioritize records for inclusion on information website

Incorporate function search terms to unify records of interest across levels of government

Facilitate open records requests through a GRAMA portal

Modernize the online catalog to improve scalability for immense quantities of digital assets and increase system and storage requirements to support additional technology needs

Optimize catalog for mobile devices

Support ability to view various format types in the interface

Use crowdsourcing tools to engage the public, engaging a network of contributors to interact with the Website and partner with local networks, such as universities and genealogical institutions

Expand social media tools so the public can provide additional information about the records

Goal 2: Promote accountability by records custodians

Provide a comprehensive index of records maintained by governmental entities, with series and general schedule descriptions online and their associated metadata

Provide a search of agency names and record series to display what is available on- and off-line

Integrate links of records online with series descriptions and off line records

Make government terminology available to the public and allow them to review the types of records maintained

Modernize management of government records

Install an agent on web servers to connect records to retention schedules in State Archives' content management system

Automate records management in agency systems

Remove restrictions on the reuse of public information

Establish metadata and usability standards

Goal 3: Preserve permanent records for continuing access

Identify records in Archives' custody to fulfill a person's research needs

Determine the format type best suited for preservation, according to written policies of formats

Implement policies that will guide the format types best suited for preservation

Transfer electronic records to the State Archives for preservation

Encourage governmental entities to use selected APIs on their own website to simplify linking or harvesting of public information published on entities' website

Facilitate the records transfer submission process

Capture records as they are posted on agency website

Roles and Responsibilities

The State Archives assumes the following roles to accomplish the responsibilities of an open government initiative. There must be coordination between roles. The roles of transparency administrator and cataloguer intersect between the processing and analyst sections in ways that should bring more unity to the State Archives' organization and work functions. Even if multiple people are working on an intersecting function, ownership for that function needs to reside in one individual who will be accountable and responsible for that function.

DTS:

Data Administrator
- Understands databases in governmental entities throughout the state
- Coordinates with Transparency Administrator
- Coordinates databases in various agencies to reduce duplication of effort in maintaining information
- Coordinates databases to bring information forward to the State Data Portal
- Deletes databases or transfers permanent databases to the State Archives
- Works with the State Archives to export permanent database data from agencies in a form that can be ingested into the State Archives' content management system
- Works with agencies to obtain data useful for posting online
- Gathers data dictionaries and other data models to provide context and representation information for preservation
- Follows the State Archives' requirements for accessioning and preservation, including promoting open data formats, obtaining series numbers to link to data, defining column attributes so that they can be used in the State Archives' content management system
- Follows DTS' requirements for managing agency concerns and obtaining data

State Archives:

Transparency Administrator
- Works with Transparency Board
- Coordinates with Data Administrator
- Works with DTS on standardized formats
- Works with State Archives' staff, especially records analysts to gather and display governmental entities series information and records
- Identifies, links, and attaches public information online
- Updates series links and agency resources to content management system
- Updates content on website, including repositories with new digital collections
- Provides the public face of the website
- Assists the public and government in the use and operability of website functions
- Maintains website and information structure
- Manages removal of information offline when no longer needed
- Works with other State Archives staff for transfer of preservation copies to the State Archives

  Web Design for information website
- Implements the information structure, while maintaining ease of use
- Seeks user feedback on design and use issues
- Improves access and makes navigation easier for the user

- Designs how the search engine will work in our archives.utah.gov environment, where the underlying technology will be the same as the portal

Systems Administrator
- Supports the State Archives' content management system through the vendor
- Supports the daily work of the State Archives staff's needs
- Oversees the launch of the GRAMA Portal and associated website functionality
  Supports the system development, revisions, and maintenance of the information portal
- Promotes integration of crowdsourcing tools, other open records resources, and archival and records management standards and workflows
- Leads the focus of system work with the direction of an internal operational work group and the Transparency Board
- Connects the content management system to the information website, to the UPNW, and to other sites
- Facilitates automated GRAMA requests to be sent to the correct location

Cataloguer
- Researches and maintains the agency hierarchy structure of governmental entities of all levels through coordination with State Archives' staff members
- Works closely with the records analysts and processors to maintain and update agency information online
- Maintains an authority list of keywords, function, and subject terms
- Maintains a summary of agency functions
- Enforces the State Archives' controlled vocabulary, rules, standards, and best practices and performs "master agency file" maintenance
- Works with the State Archives' agency hierarchy team tasked with arbitrating agency creation disputes, final analysis of agency information, and final decisions on the inclusion of any agency into the master agency list
- Accounts for record series attached to governmental entities

Content Writers adhere to the *Style Manual* and processes guides to contribute updates to content as a continuous process. These include the **Records Analysts** and the **Processing Staff** of the State Archives.

The State Archives further assumes the following roles to accomplish the GRAMA portal portion of the open government initiative.

Ombudsman
- Facilitates the records request process and acts as GRAMA expert
- Acts as liaison with all levels of government in access issues

GRAMA Portal Support

- Incorporate crowdsourcing tools to engage the public

To support the GRAMA portal functionality, the system will:
- Provide a point of access for open records requests (GRAMA requests) utilizing the systems support structure, incorporating the means for a petitioner to:
  - Identify the appropriate records officer designated to respond to GRAMA requests in specific subject (categories of records) areas
  - Make and submit a GRAMA request through an online form to the governmental entity's records officer assigned to handle GRAMA requests
  - Receive an auto-confirmation email of successful submission of a GRAMA request with copy of request
  - Send notification of unsuccessful submission to administrator for follow up
  - Provide link to administrator's contact information in instances of a failed submission, unavailable records officer information, or other need of assistance.
  - Provide information on the appeals process and time frames for denials
  - Appeal the GRAMA request denial or be notified of time frames for appeal if the governmental entity fails to respond
  - Check on the status of the GRAMA request, which could be accomplished either by credentialed validation, or simple retrieval such as is used to track a package
  - Send requestor a notice of how to appeal a denial (with CAO name/contact)
  - View the records requested, if the request is granted and the records are public, by allowing governmental entities the means to post records
  - Locate information on previous GRAMA requests

- Provide a point of access for records requests made, incorporating the means for a records officer or governmental entity to:
  - Find information about GRAMA, how it works, what it is, etc., and whom to contact with questions
  - Upload requested records to location where requestor can download, or optionally make public record part of website
  - Access standard GRAMA request replies and standard forms
  - Check on pending GRAMA requests
  - Revise or update records information
  - Authenticate public users who are logging into the GRAMA portal
  - Forward authenticated contact information to records officers as part of the request
  - Have chief administrative officers set their options to be notified of incoming GRAMA requests
  - Check GRAMA requests in dashboard

- Engage the ombudsman to facilitate open records requests

- Provide information about GRAMA, how it works, what it is, etc., and most importantly, whom to contact with questions
- Intersect with the State Records Committee executive secretary for the appeals process
- Provide training and certification capabilities for records officers by incorporating:
  - Training materials for GRAMA certification
  - Training materials for general records management, including guidelines for GRAMA compliance considerations as part of the records management process
  - A way to sign in to the system and validate user
  - A link to the certification test
  - Feature updates to improve certification test and user experience

Navigation & Search

An efficient navigation and search system is essential for this website. The structure of the website will be dictated by the content of the website, by users' needs, and by available services.

A user-friendly and robust search system is crucial. A search system must account for all levels of technological experience and expertise across the user base. The ideal solution would incorporate a single bar for a basic search, with the visible option to create an advanced search if preferred.

The search system should allow for results from information and records within the context of the content management system derived from the following parameters:
- Series number
- Title/keyword (subject words)
- Governmental entity
- Type of agency (state, county, municipal, etc.)
- Date
- Designation/Classification
- Retention Schedule
- Disposition (especially whether the record is permanent or not)
- Media type (book, microfilm, digital, electronic, etc.)
- File format (jpeg, pdf, tiff, etc.)
- Geographic location of record's origin
- Online availability
- Function
- Record location

Search results should allow for the following actions:
- Re-organization of results by pre-set parameters
  - Segregate results so public records and online records display initially
- Refine search by making additional parameter selections, as displayed in a sidebar
- Download record information

- Submit a request for off line information or a GRAMA request for a search result item
- Contact corresponding records officer for a record
- Toggle the display of results between list/table format, and vary the number of results visible per page

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[i] Terms in blue and red indicate projected future developments

R25. Administrative Services, Finance.
R25-11. Utah Transparency Advisory Board, Procedures for Electronic Meetings.
R25-11-1. Purpose and Authority.

(1) Purpose. Utah Code Section 52-4-207 requires any public body that convenes or conducts an electronic meeting to establish written procedures for such meetings. This rule establishes procedures for conducting Utah Transparency Advisory Board meetings by electronic means.

(2) Authority. This rule is enacted under the authority of Utah Code Sections 52-4-207, 63G-3-201, and 63A-3-402

R25-30-2. Meeting Procedure.

(1) Procedure. The following provisions govern any meeting at which one or more board members appear telephonically or electronically pursuant to Utah Code Section 52-4-207:

(a) If one or more members of the board may participate in any meeting electronically or telephonically, public notices of the meeting shall so indicate. In addition, the notices shall specify the anchor location where the members of the board who are not participating electronically or telephonically will be meeting and where interested persons and the public may attend, monitor, and participate in the open portions of the meeting.

(b) In accordance with Utah Code Section 52-4-202 and Section 52-4-207, notice of the meeting and the agenda shall be posted at the anchor location. Written or electronic notice shall also be provided at least 24 hours before the meetings on the Public Notice Website and to at least one newspaper of general circulation within the state or to a local media correspondent.

(c) Notice of the possibility of an electronic meeting shall be given to the board members at least 24 hours before the meeting. In addition, the notice shall describe how a board member may participate in the meeting electronically or telephonically.

(d) When notice is given of the possibility of a board member(s) appearing electronically or telephonically, any member(s) may do so and shall be counted as present for purposes of a quorum and may fully participate and vote on any matter coming before the board. At the commencement of the meeting, or at such time as any member initially appears electronically or telephonically, the chair shall identify for the record all those who are appearing telephonically or electronically. Votes by members of the board who are not at the physical location of the meeting shall be confirmed by the chair.

(e) The anchor location, unless otherwise designated in the notice, shall be in the State Capitol Building, room 415, 350 North State Street, Salt Lake City, Utah. The anchor location is the physical location from which the electronic meeting originates or from which the participants are connected. In addition, the anchor location shall have space and facilities so that interested persons and the public may attend, monitor, and participate in the open portions of the meeting.

KEY: electronic meetings, Utah Transparency Advisory Board
Authorizing, and Implemented or Interpreted Law: 52-4-207; 63G-3-201; 63A-3-403

R25. Administrative Services, Finance.
R25-10. State Entities' Posting of Financial Information to the Utah Public Finance Website.
R25-10-1. Purpose.
The purpose of this rule is to establish procedures related to the posting of the participating state entities' financial information to the Utah Public Finance Website (UPFW).

R25-10-2. Authority.
This rule is established pursuant to Subsection 63A-3-404, which authorizes the Division of Finance to make rules governing the posting of financial information for participating state entities on the UPFW after consultation with the Utah Transparency Advisory Board.

R25-10-3. Definitions.
(1) "Utah Public Finance Website" (UPFW) means the website created in UCA 63A-3-402 which is administered by the Division of Finance and which permits Utah taxpayers to view, understand, and track the use of taxpayer dollars by making public financial information available on the internet without paying a fee.
(2) "Participating state entities" means the state of Utah, including its executive, legislative, and judicial branches, its departments, divisions, agencies, boards, commissions, councils, committees, and institutions, including institutions of higher education such as colleges, universities, and the Utah College of Applied Technology.
(3) "Division" means the Division of Finance of the Department of Administrative Services.

R25-10-4. Public Financial Information.
(1) Participating state entities shall submit detail revenue and expense transactions from their general ledger accounting system to the UPFW at least quarterly and within one month after the end of the fiscal quarter. The detail transactions for all participating state entities that are recorded in the central general ledger of the State, FINET, shall be submitted by the Division.
(2) Participating state entities will submit employee compensation detail information on a basis consistent with its fiscal year to the UPFW at least once per year and within three months after the end of the fiscal year. The employee compensation detail information that is recorded in the central payroll system of the State that is operated by the Division will be submitted by the Division.
(a) Employee compensation detail information will, at a minimum, break out the following amounts separately for each employee:
(i) Total wages or salary
(ii) Total benefits only, benefit detail is not allowed
(iii) Incentive awards
(iv) Reimbursements
(v) Leave paid, if recorded separately from wages or salary in the participating state entity's payroll system.
(b) In addition, the following information will be submitted for each employee:
(i) Name

     (ii) Hourly rate
     (iii) Gender
     (iv) Job title
     (3)   Entities must not submit any data to the UPFW that is classified as private, protected, or controlled by UCA 63G-2, Government Records Management Act. All detail transactions or records are required to be submitted; however, the words "not provided" shall be inserted into any applicable data field in lieu of private, protected, or controlled information.

R25-10-5. UPFW Data Submission Procedures.
     (1) Entities must submit data to the UPFW according to the file specifications listed below.
     (a) The public financial information required in R25-10-4 will be submitted to the UPFW in a pipe delimited text file. The detail file layout is available from the Division and is posted on the UPFW under the Helps and FAQs tab.
     (b) Data will be submitted to the UPFW at the detail transaction level. However, the detailed transactions for compensation information for each employee may be summarized into transactions that represent an entire fiscal year.
     (c) Each transaction submitted to the website must contain the information required in the detail file layout including:
     (i) Organization – Categorizes transactions within the entity's organization structure. At least 2 levels of organization will be submitted but not more than 10 levels.
     (ii) Category – Categorizes transactions and further describes the transaction type. At least 2 levels of category will be submitted but not more than 7 levels.
     (iii) Fund – Categorizes transactions by fund types and individuals funds. At least 1 but not more than 4 levels of fund will be submitted.

KEY: Utah Public Financial Website, transparency, state employees, finance
Date of Enactment or Last Substantive Amendment: December 23, 2009
Authorizing, and Implemented or Interpreted Law: 63A-3-404